

that at least 50% of the match be provided by the proposed partners through the delivery of specific services or resources to the client population. Such resources must be definitely committed or contingent only upon receipt of an OCS grant, and must be applied to specific project activities within the OCS-approved project and used only for project purposes for the duration of the OCS grant. The firm commitment of the specific amounts of matching funds and/or the dollar value of third-party in-kind contributions must be documented in the project application. Documentation of matching funds must be in the form of letters of commitment or intent to commit from the donor, contingent only upon receipt of OCS grant funds.

If any part of match is to be used as a revolving loan fund, those funds must be cash, specifically set-aside for eligible low-income recipients of the project.

Funds expended prior to the approved OCS starting date for a grant cannot be considered as matching funds.

#### *D. Prohibition on the Use of Funds*

The use of funds for the purchase or construction of real property is prohibited.

#### *E. Program Beneficiaries*

Projects proposed for funding under this announcement must result in direct benefits to low-income persons whose incomes are no more than 125% of the DHHS poverty income guidelines as defined in the most recent Annual Revision of Poverty Income Guidelines published by DHHS.

Attachment C to this Notice is an excerpt from the guidelines currently in effect. Annual revisions of these guidelines are normally published in February or early March of each year. These revised guidelines may be obtained at public libraries, Congressional offices, or by writing the Superintendent of Documents, U. S. Government Printing Office, Washington, DC 20402. These Guidelines are also accessible on the OCS Electronic Bulletin Board for downloading through your computer modem by calling 1-800-627-8886. For assistance in accessing the Bulletin Board, a Guide to Accessing and Downloading is available from Ms. Minnie Landry at (202) 401-5309.

No other government agency or privately defined poverty guidelines are applicable for the determination of low-income eligibility for this OCS program.

#### *F. Sub-Contracting or Delegating Projects*

An applicant will not be funded where the proposal is for a grantee to act as a straw-party, that is, to act as a mere conduit of funds to a third party without performing a substantive role itself. This prohibition does not bar subcontracting or subgranting for specific services or activities needed to conduct the project.

#### *G. Maintenance of Effort*

The activities funded under this program announcement must be in addition to, and not in substitution for, activities previously carried on without Federal assistance. Also, funds or other resources currently devoted to activities designed to meet the needs of the poor within a community, area, or State must not be reduced in order to provide the required matching contributions. When legislation for a particular block grant permits the use of its funds as match, the applicant must show that it has received a real increase in its block grant allotment and must certify that other anti-poverty programs will not be scaled back to provide the match required for this project. A signed certificate of Maintenance of Effort must be included with the application (see Attachment J).

#### *H. Multiple Submittals and Multiple Grants*

In accordance with the statutory provision that limits grants to any eligible entity to one in any given fiscal year, no eligible applicant will receive more than one grant pursuant to this Announcement.

### Part III. Program Priority Areas

#### *1.0 General Demonstration Projects (Approximately \$2.4 Million Available)*

For Fiscal Year 1995 OCS plans to fund approximately seven General Demonstration Projects at \$350,000 or less each.

Applications submitted under this category must focus on developing new and innovative ways of promoting individual and family self-sufficiency among the poor within the context of the communities in which they live. The applicant will be expected to propose solutions that show promise of increasing self-sufficiency and that depart from or modify conventional approaches used by eligible entities. At a minimum, every individual should achieve an economic self-sufficiency goal appropriate to their age group. For adult populations (18 years of age or more) that goal should include a job which will allow individuals to provide for basic needs with the potential for

career development that will lead to self-sufficiency within a reasonable period of time, enrollment in an educational program which will lead to such a job, or interim goals on the ladder to self-sufficiency.

While self-sufficiency implies reliance on one's own initiative and abilities, such a transformation cannot occur independently of the context of the relationships, resources, and institutions in the surrounding community. OCS understands the importance to self-sufficiency of such community resources as adequate child care, safe and affordable housing, accessible medical care, good transportation, adequate municipal services and other elements of the community's socioeconomic infrastructure. Also important to real progress toward self-sufficiency is readily available and empathetic help in accessing these institutional resources and the emotional support networks that enable people to overcome adversity and move ahead.

Accordingly, OCS is interested in demonstrations of strategies that offer real promise of transforming the lives of poor individuals and families in part by improving the community infrastructure and the workings of the community's service institutions. Applications should include partnerships with organizations which are providers of services within the community and one of the goals of the partnerships should be a developing shift of focus within these organizations from one of client maintenance to client transformation, and a growing recognition of the value of the agency's services as investments in their clients' communities.

In the spirit of "local initiative" OCS looks forward to innovative proposals that grow out of the experience of community action and the needs of the applicants' clientele and communities, and that will make the fruits of local creativity available broadly to others seeking solutions to similar problems.

At the same time, OCS is again interested in receiving applications that propose a realistic plan for harnessing self-sufficiency support activities to Environmental Justice and Sustainable Community Development initiatives in ways which will offer the poor opportunities for long term career development as well as improving the supportive economic infrastructure and facilities of the community. (See Attachment A for a fuller discussion of Environmental Justice and Sustainable Community Development.)

For the purposes of this Announcement, programs falling within the rubric of Environmental Justice and

Sustainable Community Development might include community-based job and career development around lead abatement in low-income dwellings; in clean-up of toxic wastes or leaking underground storage tanks; in holistic "livable house" treatment of low-income dwellings which would combine lead abatement with weatherization and the mitigation of other hazards such as asbestos or radon; in the installation and maintenance of alternative and renewable energy technologies in the homes of the poor; in recycling; in the exploitation of new and non-traditional uses of agricultural crops and products; in forest or watershed restoration; in urban pesticide programs designed to reduce the use of toxic pesticides in low income urban communities through Integrated Pest Management and similar techniques; or in the launching of enterprises involving new and non-polluting manufacturing or other commercial methodologies which can provide needed goods and services in ways which are non-polluting and consistent with sustainable community development.

When, in addition, these community-based improvement initiatives capitalize upon significant new public programs or private market forces that offer good potential for continuing financial support of these activities, the initiatives have reasonable chances of growing and prospering, thereby offering additional jobs to entry-level workers and career prospects to employees who perform well. Applications that offer a sound plan for capitalizing upon such public and/or private market forces to provide real employment and career opportunities for low-income individuals will be especially welcome.

Applications which propose initiatives involving activities which will expose program participants or community residents to toxic or poisonous substances, including, but not limited to, lead paint or dust, asbestos, toxic wastes, radon gas, or toxic pesticides, must include, as an appendix to the application, specific assurances that all applicable federal, state, and local laws and regulations for the protection of workers and community residents will be strictly adhered to.

Applications which include job and career development dependent on the securing of contracts for services or successful marketing of goods and/or services must include assurance that such contracts will be forthcoming or assurance based on market surveys or other means that sufficient markets for

the proposed goods or services exist to promise a reasonable expectation of project success. Where the development and management of a new business venture are a major focus of the proposed work plan, applicant must provide assurance that such activities will be under the direction of a person or persons having business experience, and the application must include, as an appendix, a Business Plan based on the outline included as Attachment B to this Announcement.

The interventions that applicants propose for this program should be multi-dimensional in nature in order to provide the kind of comprehensive approach needed as an effective basis for individual transformation. They should, where appropriate, address both individual and family progress toward self-sufficiency, and may also involve two or more generations as both providers and beneficiaries of project services.

#### *2.0 Replication Projects (Approximately \$1.5 Million Available, Including 1 Urban Youth Project)*

The Demonstration Partnership Program is required by its authorizing legislation to invest at least 10% (but no more than 25%) of its appropriation to replicate, in additional geographic areas, previously funded programs that have demonstrated a significant potential for dealing with particularly critical needs or problems of the poor that exist in a number of communities.

For Fiscal Year 1995 OCS plans to fund up to three general replication projects at up to \$350,000 each, and one replication urban youth project at up to \$500,000, for a total of up to approximately \$1,500,000. OCS seeks to stimulate, with these grants, additional experimentation and application of approaches that seem to offer special promise in fostering social and economic self-sufficiency among a variety of low-income people.

The eligibility, match requirements, and time frame for General Replication Projects are the same as for General Demonstration Projects; for Urban Youth Replication Projects they are the same as for Urban Youth Projects.

For FY 1995, OCS has identified four previously funded Demonstration Partnership Projects that have, in their design and implementation, demonstrated a significant potential for dealing successfully with a number of critical needs and problems of poor people in differing circumstances. The four projects are:

A. *Micro-Enterprise Development Program (MEDP)*, [Now called the *Neighborhood Economic Development*

*Self-Employment Program (NEDSEP)*], Philadelphia, sponsored by the Mayor's Office of Community Services, which has successfully carried out a project of Micro-Enterprise/Self-Employment development, supported by training and technical assistance, comprehensive case management, and peer counselling, among homeless residents of a North Philadelphia low-income neighborhood. Project partners included the Philadelphia County Assistance Office, the Philadelphia Private Industry Council (PIC), the Minority Business Enterprise Council, the Philadelphia Office of Services for Homeless and Adults, the Service Corps of Retired Executives, and the Beech Consortium, a consortium of 45 local private and public organizations. The Philadelphia Project can be reached through: Rosalind Johnson, Project Manager, Mayor's Office of Community Services, 1608 N. Carlisle St., Philadelphia, PA 19121, (215) 978-5930.

B. *The Success Connection*, Yakima, Washington, sponsored by Yakima Valley Opportunities Industrialization Center, which has successfully carried out a project of Case Management, support groups, skills training, and family involvement for Hispanic at risk teen-age children of Migrant and Seasonal Farmworker families in the Yakima Valley. In partnership with the state Migrant Education Services, Central Washington University, and local school districts, the project reduced truancy and drop-out rates, increased school attendance and achievement, developed employment opportunities, and encouraged post-secondary schooling among participating youth. The success of the program has led to the State of Washington's decision to support its implementation State-wide. The Yakima Project can be reached through: Mr. Henry Beauchamp, Executive Director, Yakima Valley OIC, 815 Fruitvale Blvd., Yakima, WA 98902, (509) 839-2717.

C. *Homeless Opportunity Project*, Bath, Maine, sponsored by Coastal Economic Development, Inc., which has combined three innovative components into a successful program to foster self-sufficiency among the homeless poor. These include a shelter-based job training program, a system-wide change in delivery of services to an integrated case-management approach, and an assessment instrument which can be used in the design of individualized development plans for program participants. Project partners include the area's homeless shelter and three other local non-profit providers, Shoreline Community Mental Health Systems, the Addiction Resource

Center, and the United Way of Mid-Coast Maine. The Maine Project can be reached through: Jessica Harnar, Executive Director, Coastal Economic Development, Inc., 39 Andrews Road, Bath, ME 04530, (207) 442-7963.

D. *Step-Up Young Father Mentor Program*, Phoenix, Arizona, sponsored by the City of Phoenix Human Services Department in partnership with the Valley Big Brothers/Big Sisters of Arizona, which has successfully brought "Big Brother" mentoring to youthful, largely minority (62% Hispanic, 20% Black, 4% Native American) fathers, between the ages of 16 and 22, as part of a comprehensive program of education, pre-employment and skills training, and case management/family development services to enable them to assume greater responsibility for their families. This is the first time that the Big Brother organization nationally has worked with this age group. Additional project partners include the Centers for Advancement of Educational Practices, City of Phoenix Parks, Recreation and Library Dept., Maricopa County Community Colleges, and City of Phoenix Employment and Training. The Phoenix project can be reached through: William Chipman, Project Director, 1250 South 7th Ave., Phoenix, AZ 85007, (602) 262-6907.

OCS is interested in replicating each of these programs in a geographically different but appropriate setting.

The Philadelphia project design should function effectively in another large urban setting with a substantial homeless population. It would seem well suited to a city which has received designation as an Empowerment Zone or Enterprise Community, where activities pursuant to the EZ/EC Strategic Plan could stimulate markets for project participants' enterprises.

The Yakima project design should be tried with Hispanic Farmworker populations in another section of the country, perhaps in California or the Southwest.

The Maine project design should be tried with homeless populations in another rural setting, perhaps in a more economically depressed community to test its applicability to higher concentrations of homeless.

The Phoenix project design should function effectively with minority urban youth in a community with an active Big Brothers/Big Sisters or comparable organization willing to participate as an active partner in the project. In the case of the Phoenix project, the replication project will be considered an Urban Youth project for purposes of grant amount (up to \$500,000) and match requirement (25% of the OCS grant

amount); but proposals will be reviewed under the Priority Area 2.0 Replication Project Elements and Review Criteria.

In each case, the application for a Replication Project should provide for an extensive site visit or site visits by key staff to the project to be replicated (Host Project), during which such staff can receive orientation training and actually serve a brief apprenticeship in the program. In addition, provision should be made for a site visit by staff of the Host Project to the Replication Project during the first year of its operations. The proposed Project Budget should make provision for the costs of such site visits/apprenticeships, as well as for appropriate consulting fees for staff of the Host Project; and the application should include, as an appendix, a Memorandum of Understanding or Letter of Agreement between the applicant and the Host Project setting forth training/apprenticeship undertakings and the attendant financial arrangements.

### *3.0 EZ/EC Continuous Improvement Grants (Maximum of \$1,000,000 Available)*

OCS in FY 1994 made approximately 115 \$10,000 DPP grants to CAA's involved locally with developing Strategic Plans for submission to the Departments of HUD and Agriculture seeking designation as Empowerment Zones or Enterprise Communities (EZ/EC). The purpose was to strengthen CAA involvement in the local planning process so as to assure the fullest possible participation of low-income residents of the affected communities.

OCS in FY 1995 is interested in making a number of "Continuous Improvement" grants to CAA's or eligible farmworker organizations which had and have major involvement in the planning and implementation of these Strategic Plans in their communities. The purpose of these grants will be to continue to support the involvement of low income residents in the improvement and implementation of these Strategic Plans through activities which will seek to develop innovative ways to increase the self-sufficiency of the poor. Another important purpose of the grants will be to assist grantees to establish or participate in the establishment of a system of information and data collection that will track the activities carried out and identify those which develop and implement new and innovative approaches to deal with particularly critical needs or problems of the poor which are common to a number of communities, including new approaches to dealing with the problems caused by entrenched, chronic

unemployment and lack of economic opportunities for urban youth.

OCS proposes, therefore, to fund up to 20 grants of up to \$50,000 apiece, for a maximum total of approximately \$1,000,000, to enable applicants eligible for the Demonstration Partnership Program to participate in the continuous planning and improvement, and to monitor the implementation, of these Strategic Plans at the local level. OCS hopes these grants will enable grant recipients, through the collection and use of information about strategic planning, implementation and performance, to influence the shape and priorities of these initiatives, and to make possible the closer monitoring of progress at the local community level.

Each grant under this Priority Area will be for up to \$50,000. As with Priority Areas 1.0 and 2.0, a 100% match will be required, which can be in cash or in-kind fairly valued, and the operational project time frame for these Continuous Improvement projects is two years, with up to six additional months for start-up and six months after the operational period to complete evaluation and reporting.

OCS expects the project funds to be used to facilitate participation of low income residents and to expand the grantee's human and/or technical resources, which with OCS support will enable it to broaden its involvement in the implementation and monitoring of the Strategic Plan. Applicants are encouraged to contact their State Corporation for National Service Offices and/or their State Commissioner for National Service to discuss possible national service participation in their projects (e.g. Americorps-VISTA, Americorps USA, National Senior Service Corps, Learn and Serve). Such participation could provide two or more volunteers to support the work of the planner and assist staff in the Continuous Improvement project.

Applicants for these Continuous Improvement grants should represent communities that have developed EZ/EC Strategic Plans and are proceeding to implement them, either with or without the support of designation as an Empowerment Zone/Enterprise Community. OCS hopes to make grants to at least two communities that did not receive EZ/EC designation. But in all cases applicants must provide evidence of close working relationships with those involved in the EZ/EC planning and/or implementation process, the local nominating officials, and the other agencies and resources that participated in the development of the community's strategic plan document. Special emphasis should also be given in